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To: District Superintendents of BOCES  
Superintendents of Schools

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Subject: Annual Professional Performance Review Data Submission and  
Certification Deadlines for the 2016-17 School Year

Date: September 12, 2017 (Updated October 19, 2017)

This memorandum provides continuing information regarding several APPR data collection and reporting deadlines. This memo supports the information shared in the [July 17, 2017 memo](#) found on the "[Resources for Closeout of 2016-17 APPR](#)" page on EngageNY.

As a reminder, when districts and BOCES submitted their APPR Implementation Certification form, they assured the Department that "all data will be submitted to the Commissioner by August 25, 2017, to the extent practicable, and no later than October 27<sup>1</sup>, 2017" and that all data submitted to the Commissioner by October 27<sup>1</sup>, 2017 will be a complete and accurate representation of the information requested and includes the Required and Optional Student Performance subcomponent scores and ratings, the Required and Optional Teacher Observation/Principal School Visit subcomponent scores and ratings, Student Performance and Teacher Observation/Principal School Visit category ratings, the Overall rating, and all applicable transition scores and ratings for all teachers and principals employed by the district or BOCES. Please see the Department's [APPR Transition Guidance](#) for additional information.

**Therefore, to be eligible for an increase in State aid for 2017-18, all districts must report their Original and Transition (where applicable) subcomponent scores and ratings, and category and overall ratings by October 27<sup>1</sup>, 2017.** Local Level 1 data centers may require earlier due dates to allow sufficient time for

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<sup>1</sup> Due to feedback we have received from districts, BOCES, and Regional Information Centers regarding issues with the software many districts and BOCES use to generate and submit their staff evaluation data, Level 2 will accept data for an additional week. The staff evaluation data submission deadline is October 27; however, the container will be open through November 3 to accept data from LEAs that are not able to complete their submission by October 27. Additionally, the 2016-17 Statement of Confirmation of Staff Evaluation Verification form will be due on November 17, 2017 instead of November 3.

processing. Please contact your Local Level 1 data center if you do not know their processing dates.

Date	Event	Description/Information
August 25, 2017 – October 27 <sup>2</sup> , 2017	Final submission of 2016-17 Evaluation Ratings, Category Ratings, and Subcomponent Scores and Ratings	<p>LEAs will report 2016-17 staff evaluation data to the Commissioner through the Student Information Repository System (SIRS) for all applicable teachers and principals. These data must be submitted by October 27<sup>2</sup>, 2017.</p> <p>All final and complete data, including original and transition (where applicable) scores and ratings for the Required and Optional Student Performance subcomponents, Student Performance category ratings, scores and ratings for the Required and Optional Teacher Observation/Principal School Visit subcomponents, Teacher Observation/ Principal School Visit category ratings, and the Overall rating.</p> <p><b>Complete 2016-17 Staff Evaluation Rating data must be submitted by October 27<sup>2</sup>, 2017 for a district to be eligible for their increase in State aid.</b></p>
November 17, 2017	2016-17 Statement of Confirmation of Staff Evaluation Implementation and Rating Verification Report(s) due	<p>This form certifies the accuracy of the Staff Evaluation Rating data submitted as of the October 27<sup>2</sup>, 2017 deadline. This form is required to be signed by the LEA's certifying official who verifies the data provided in the Staff Evaluation Rating Verification Report(s) generated by L2RPT.</p> <p>The certification form will be available and must be submitted in SED Monitoring through <a href="#">NYSED's Application Business Portal</a>.</p>

**Reporting Requirements Related to Education Law §3012-d**

All public school districts and BOCES are required to submit 2016-17 school year data to SIRS that include staff evaluation ratings used for APPR. Please share this information with personnel in your organization who have responsibility for data collection and reporting. *Please note that both **Original and Transition scores and ratings** in each subcomponent, ratings in each category, and Overall ratings must be reported for all educators whose APPR measures incorporate the results of the grades 3-8 ELA and math State assessments and/or State-provided growth scores. For*

<sup>2</sup> Due to feedback we have received from districts, BOCES, and Regional Information Centers regarding issues with the software many districts and BOCES use to generate and submit their staff evaluation data, Level 2 will accept data for an additional week. The staff evaluation data submission deadline is October 27; however, the container will be open through November 3 to accept data from LEAs that are not able to complete their submission by October 27. Additionally, the 2016-17 Statement of Confirmation of Staff Evaluation Verification form will be due on November 17, 2017 instead of November 3.

educators whose APPR measures **do not** include the results of the grades 3-8 ELA and math State assessments and/or State-provided growth scores, **only Original scores and ratings** are required.

The table below summarizes the data elements that are required to be submitted for each teacher and principal evaluation **under Education Law §3012-d** via the Staff Evaluation Rating Template for the 2016-17 school year, exported from your local data system and submitted to the New York State Education Department’s Student Information Repository System (SIRS).

<b>Evaluation Category under Education Law §3012-d</b>	<b>Description</b>
<b>Overall Composite Rating</b>	<p>Reported using the following codes: OCR04 = highly effective, OCR03 = effective, OCR02 = developing, OCR01 = ineffective for <b>Original ratings</b> based on the matrix prescribed in Education Law §3012-d(5).</p> <p>Reported using the following codes: TOCR04 = highly effective, TOCR03 = effective, TOCR02 = developing, TOCR01 = ineffective for <b>Transition ratings</b> based on the matrix prescribed by Education Law §3012-d(5).</p>
<b>Teacher Observation/Principal School Visit Category</b>	<p><b>Original Required Teacher Observation/Principal School Visit subcomponent scores and ratings</b> reported as a value of 0.00 or a number from 1.00-4.00, using the following codes: REQOB04 = highly effective, value from 3.50-4.00, REQOB03 = effective, value from 2.50-3.74, REQOB02 = developing, value from 1.50-2.74, REQOB01 = ineffective, value of 0.00 or from 1.00-1.74.</p> <p><b>Transition Required Teacher Observation/Principal School Visit subcomponent scores and ratings</b> reported as a value of 0.00 or a number from 1.00-4.00, using the following codes: TREQOB04 = highly effective, value from 3.50-4.00; TREQOB03 = effective, value from 2.50-3.74; TREQOB02 = developing, value from 1.50-2.74; TREQOB01 = ineffective, value of 0.00 or from 1.00-1.74.</p> <p><b>Original Optional Teacher Observation/Principal School Visit subcomponent scores and ratings</b> reported as a number from 1.00-4.00, using the following codes: OPTOB04 = highly effective, value from 3.50-4.00; OPTOB03 = effective, value from 2.50-3.74; OPTOB02 = developing, value from 1.50-2.74; OPTOB01 = ineffective, value from 1.00-1.74; OPTOB00 = <b>optional subcomponent not included</b> in the approved APPR plan for 2016-17.</p> <p><b>Transition Optional Teacher Observation/Principal School Visit subcomponent scores and ratings</b> reported as a number from 1.00-4.00, using the following codes: TOPTOB04 = highly effective, value from 3.50-4.00; TOPTOB03 = effective, value from 2.50-3.74; TOPTOB02 = developing, value from 1.50-2.74; TOPTOB01 = ineffective, value from 1.00-1.74.</p> <p>Subcomponent scores must correspond to the correct rating codes. HEDI ranges used to determine subcomponent scores must be consistent with those indicated in the approved APPR plan for 2016-17.</p>

	<p><b>Original Teacher Observation/Principal School Visit category ratings</b> reported using the following codes: OOBC04 = highly effective, OOBC03 = effective, OOBC02 = developing, OOBC01 = ineffective.</p> <p><b>Transition Teacher Observation/Principal School Visit category ratings</b> reported using the following codes: TOOBC04 = highly effective, TOOBC03 = effective, TOOBC02 = developing, TOOBC01 = ineffective.</p> <p>Category ratings must be determined per the weighting indicated in the approved APPR plan for 2016-17.</p>
<p><b>Student Performance Category</b></p>	<p><b>Original Required Student Performance subcomponent scores and ratings</b> reported as a whole number from 0-20, using the following codes: REQSP04 = highly effective, value from 18-20, REQSP03 = effective, value from 15-17, REQSP02 = developing, value from 13-14, REQSP01 = ineffective, value from 0-12.</p> <p><b>Transition Required Student Performance subcomponent scores and ratings</b> reported as a whole number from 0-20, using the following codes: TREQSP04 = highly effective, value from 18-20; TREQSP03 = effective, value from 15-17; TREQSP02 = developing, value from 13-14; TREQSP01 = ineffective, value from 0-12.</p> <p><b>Original Optional Student Performance subcomponent scores and ratings</b> reported as a whole number from 0-20, using the following codes: OPTSP04 = highly effective, value from 18-20; OPTSP03 = effective, value from 15-17; OPTSP02 = developing, value from 13-14; OPTSP01 = ineffective, value from 0-12; OPTSP00 = optional subcomponent not included in the approved APPR plan for 2016-17.</p> <p><b>Transition Optional Student Performance subcomponent scores and ratings</b> reported as a whole number from 0-20, using the following codes: TOPTSP04 = highly effective, value from 18-20; TOPTSP03 = effective, value from 15-17; TOPTSP02 = developing, value from 13-14; TOPTSP01 = ineffective, value from 0-12.</p> <p><b>Original Student Performance category ratings</b> reported using the following codes: OSPC04 = highly effective, OSPC03 = effective, OSPC02 = developing, OSPC01 = ineffective.</p> <p><b>Transition Student Performance category ratings</b> reported using the following codes: TOSPC04 = highly effective, TOSPC03 = effective, TOSPC02 = developing, TOSPC01 = ineffective.</p> <p>Category ratings must be determined per the subcomponent weighting indicated in the approved APPR plan for 2016-17.</p>

If you have any questions about these technical data reporting requirements, please contact your RIC or Big 5 City School District data center or the Office of Information and Reporting Services through [Datasupport](#).

If you have any questions or require technical assistance with your APPR plan, please contact [educatoreval@nysed.gov](mailto:educatoreval@nysed.gov). Please also see the [APPR Guidance documents](#) for further information on evaluation ratings resulting from APPR plans approved pursuant

to Education Law §3012-d. Also available on EngageNY are [helpful information for the closeout of 2016-17 APPR](#) and [resources related to Education Law §3012-d](#).

## Frequently Asked Questions

### General Questions

**Q1: Other than the 2016-17 APPR Implementation Certification Form, what further information is required to be submitted to the Department to demonstrate full implementation of my district's 2016-17 APPR plan?**

A: LEAs must report 2016-17 final and complete data, including Original and, where necessary, Transition scores and ratings for all applicable teachers and principals to the New York State Education Department's Student Information Repository System (SIRS) by October 27<sup>3</sup>, 2017.<sup>4,5,6</sup> Required elements can be found in the table in Q10 of this FAQ.

In addition, the 2016-17 Statement of Confirmation of Staff Evaluation Rating Verification Report is required to be signed by the LEA's certifying official who verifies the data submitted to the Department by November 17, 2017. By signing the Implementation Certification form that was due to the Department on August 25, 2017, LEAs assured that all data will be submitted to the Commissioner starting on August 25, 2017 to the extent practicable, and that all data submitted to the Commissioner by October 27<sup>3</sup>, 2017 will be a complete and accurate representation of the information requested and includes all required scores and ratings consistent with the implemented 2016-17 APPR plan for all teachers and principals employed by the district or BOCES, for the 2016-17 school year.

However, please be advised that pursuant to Education Law §§3012-c(9)<sup>7</sup>, the Department reserves the right to monitor and take appropriate action with districts, including potential loss of State aid, if a district is not fully implementing their approved APPR plan in accordance with the law and regulations.

**Q2: When is the information related to the 2016-17 APPR due to the Department?**

A: Submission of staff evaluation data for classroom teachers and building principals for the 2016-17 school year is required to be submitted starting on August 25 to the extent practicable; however, the submission of 2016-17 full and complete data, including all required Original and Transition (where applicable) scores and ratings consistent with the implemented 2016-17 APPR plan are due to the Department by no later than **October 27<sup>3</sup>, 2017<sup>8,9</sup>**. Please note: Local Level 1 data centers will require earlier due dates to allow sufficient time for processing.

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<sup>3</sup> Due to feedback we have received from districts, BOCES, and Regional Information Centers regarding issues with the software many districts and BOCES use to generate and submit their staff evaluation data, Level 2 will accept data for an additional week. The staff evaluation data submission deadline is October 27; however, the container will be open through November 3 to accept data from LEAs that are not able to complete their submission by October 27. Additionally, the 2016-17 Statement of Confirmation of Staff Evaluation Verification form will be due on November 17, 2017 instead of November 3.

<sup>4</sup> Please see [Executive Director Alexander Trikalinos' July 17, 2017 memorandum](#).

<sup>5</sup> Please see Section M5 of the [§3012-d APPR Guidance](#).

<sup>6</sup> Please see Sections C21-C28 of the [§3012-d APPR Guidance](#).

<sup>7</sup> Education Law §3012-c(9) is made applicable to APPRs completed pursuant to Education Law §3012-d through Education Law §3012-d(15) and §30-3.13 of the Rules of the Board of Regents.

<sup>8</sup> Please see [Executive Director Alexander Trikalinos' July 17, 2017 memorandum](#).

<sup>9</sup> Please see Section C26 of the [§3012-d APPR Guidance](#).

In addition, the Statement of Confirmation of 2016-17 Staff Evaluation Rating Certification Report form is required to be signed by the LEA's certifying official by **November 17, 2017**.

**Q3: Why do we need to submit this information?**

A: If your school district/BOCES has a 2016-17 APPR plan approved by the Commissioner, it is expected that the district/BOCES will have taken the steps necessary to carry out the evaluations of classroom teachers and building principals in accordance with the approved APPR plan. Therefore, the Commissioner requires proof of submission of preliminary staff evaluation data for classroom teachers and building principals for the 2016-17 school year by no later than August 25, 2017, to the extent practicable, and a certification by the superintendent of schools that final, complete data including all required Original and Transition (where applicable) scores and ratings consistent with the implemented 2016-17 APPR plan will be submitted by October 27<sup>10</sup>, 2017.<sup>11</sup> As a reminder, pursuant to Education Law §3012-d(11), school districts must demonstrate that they have implemented their APPR plans in the prior school year in order to be eligible for an increase in State aid for the coming school year.

**Q4: What happens if we do not submit data?**

A: By signing the Implementation Certification form that was due to the Department by August 25, 2017, districts and BOCES assured that “all data will be submitted to the Commissioner by August 25, 2017, to the extent practicable, and no later than October 27<sup>10</sup>, 2017” and that all data submitted to the Commissioner by October 27<sup>10</sup>, 2017 will be a complete and accurate representation of the information requested. See Question 10 for additional information about the specific data elements that are required to be reported.

As a reminder, pursuant to Education Law §3012-d(11), school districts must demonstrate that they have implemented their APPR plans in the prior school year in order to be eligible for an increase in State aid for the coming school year.

**Data Submission Questions:**

**Q5: How are the data submitted?**

A: Districts and BOCES schools should follow typical protocol for data submission. For questions regarding loading staff evaluation data into SIRS, please contact your RIC/Big 5 City School District data center. A list of [Level 1 data center contacts](#) is posted online.

**Q6: What format should be used to submit the data?**

A: Some districts and BOCES have Professional Development or Instructional

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<sup>11</sup>Please see Section C27 of the [§3012-d APPR Guidance](#).

Information Systems and even HR or Financial Systems that allow users to enter Annual Professional Performance Reviews and export the data in the New York State data collection format. Other LEAs create spreadsheets in the NYS data collection format, while others manually enter the data in the Level 0 application. Follow typical protocol for data submission and/or formatting. If you have additional questions you may want to contact your Level 1 data center.

**Q7: Are we required to report both teacher and principal data?**

A: Yes, both teacher and principal data are required to be submitted to the Department. By signing the Implementation Certification form that was due to the Department by August 25, 2017, districts and BOCES assured that “all data will be submitted to the Commissioner by August 25, 2017, to the extent practicable, and no later than October 27<sup>12</sup>, 2017” and that all data submitted to the Commissioner by October 27<sup>12</sup>, 2017 will be a complete and accurate representation of the information requested and includes all required Original and Transition (where applicable) scores and ratings consistent with the implemented 2016-17 APPR plan, **for all teachers and principals employed by the district or BOCES**, for the 2016-17 school year.<sup>13</sup> Please see the Department’s [APPR Transition Guidance](#) for additional information.

**Q8: What educator ID should be used when submitting the data?**

A: Staff Evaluation Rating records can be submitted using either the local ID (field 2) or the Alternate Staff (TEACH) ID (field 14). Either field 2 or field 14 is used, not both. The ID used (field 2 or 14) must match that defined in the Staff Snapshot table.

**Q9: Do Transition scores and ratings need to be submitted for all educators?**

A: During the transition period (2015-16 through 2018-19), Transition scores and ratings are required to be submitted in addition to Original scores and ratings **only** for those educators whose evaluation scores and ratings are determined using the NYS grades 3-8 ELA/Math assessments or State-provided growth scores, in whole or in part.

Districts/BOCES need to report only Original staff evaluation scores and ratings for those educators whose evaluation scores and ratings **are not** determined using the NYS grades 3-8 ELA/Math assessments or State-provided growth scores.

Detailed information on the determination of transition scores and ratings can be found in the Department’s [APPR Transition Guidance](#). Further information on the submission of transition scores and ratings is included on EngageNY under [Resources for Closeout of 2016-17 APPR](#).

**Q10: What elements are required to be submitted to the Department for each teacher and principal in the Staff Evaluation Rating template?**

A: The tables below summarize the data elements that are required to be submitted via the Staff Evaluation Rating Template, exported from your local data systems for each teacher and principal under Education Law §3012-d.

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<sup>12</sup> Due to feedback we have received from districts, BOCES, and Regional Information Centers regarding issues with the software many districts and BOCES use to generate and submit their staff evaluation data, Level 2 will accept data for an additional week. The staff evaluation data submission deadline is October 27; however, the container will be open through November 3 to accept data from LEAs that are not able to complete their submission by October 27. Additionally, the 2016-17 Statement of Confirmation of Staff Evaluation Verification form will be due on November 17, 2017 instead of November 3.

<sup>13</sup> Please see Section C28 of the [§3012-d APPR Guidance](#).

Evaluation Category under Education Law §3012-d	Description
Overall Composite Rating	<p>Reported using the following codes: OCR04 = highly effective, OCR03 = effective, OCR02 = developing, OCR01 = ineffective for <b>Original ratings</b> based on the matrix prescribed in Education Law §3012-d(5).</p> <p>Reported using the following codes: TOCR04 = highly effective, TOCR03 = effective, TOCR02 = developing, TOCR01 = ineffective for <b>Transition ratings</b> based on the matrix prescribed by Education Law §3012-d(5).</p>
Teacher Observation/Principal School Visit Category	<p><b>Original Required Teacher Observation/Principal School Visit subcomponent scores and ratings</b> reported as a value of 0.00 or a number from 1.00-4.00, using the following codes: REQOB04 = highly effective, value from 3.50-4.00, REQOB03 = effective, value from 2.50-3.74, REQOB02 = developing, value from 1.50-2.74, REQOB01 = ineffective, value of 0.00 or from 1.00-1.74.</p> <p><b>Transition Required Teacher Observation/Principal School Visit subcomponent scores and ratings</b> reported as value of 0.00 or a number from 1.00-4.00, using the following codes: TREQOB04 = highly effective, value from 3.50-4.00; TREQOB03 = effective, value from 2.50-3.74; TREQOB02 = developing, value from 1.50-2.74; TREQOB01 = ineffective, value of 0.00 or from 1.00-1.74.</p> <p><b>Original Optional Teacher Observation/Principal School Visit subcomponent scores and ratings</b> reported as a number from 1.00-4.00, using the following codes: OPTOB04 = highly effective, value from 3.50-4.00; OPTOB03 = effective, value from 2.50-3.74; OPTOB02 = developing, value from 1.50-2.74; OPTOB01 = ineffective, value from 1.00-1.74; OPTOB00 = optional subcomponent not included in the approved APPR plan for 2016-17.</p> <p><b>Transition Optional Teacher Observation/Principal School Visit subcomponent scores and ratings</b> reported as a number from 1.00-4.00, using the following codes: TOPTOB04 = highly effective, value from 3.50-4.00; TOPTOB03 = effective, value from 2.50-3.74; TOPTOB02 = developing, value from 1.50-2.74; TOPTOB01 = ineffective, value from 1.00-1.74.</p> <p>Subcomponent scores must correspond to the correct rating codes. HEDI ranges used to determine subcomponent scores must be consistent with those indicated in the approved APPR plan for 2016-17.</p> <p><b>Original Teacher Observation/Principal School Visit category ratings</b> reported using the following codes: OOBBC04 = highly effective, OOBBC03 = effective, OOBBC02 = developing, OOBBC01 = ineffective.</p> <p><b>Transition Teacher Observation/Principal School Visit category ratings</b> reported using the following codes: TOOBBC04 = highly effective, TOOBBC03 = effective, TOOBBC02 = developing, TOOBBC01 = ineffective.</p> <p>Category ratings must be determined per the weighting indicated in the</p>

	approved APPR plan for 2016-17.
<b>Student Performance Category</b>	<p><b>Original Required Student Performance subcomponent scores and ratings</b> reported as a whole number from 0-20, using the following codes: REQSP04 = highly effective, value from 18-20, REQSP03 = effective, value from 15-17, REQSP02 = developing, value from 13-14, REQSP01 = ineffective, value from 0-12.</p> <p><b>Transition Required Student Performance subcomponent scores and ratings</b> reported as a whole number from 0-20, using the following codes: TREQSP04 = highly effective, value from 18-20; TREQSP03 = effective, value from 15-17; TREQSP02 = developing, value from 13-14; TREQSP01 = ineffective, value from 0-12.</p> <p><b>Original Optional Student Performance subcomponent scores and ratings</b> reported as a whole number from 0-20, using the following codes: OPTSP04 = highly effective, value from 18-20; OPTSP03 = effective, value from 15-17; OPTSP02 = developing, value from 13-14; OPTSP01 = ineffective, value from 0-12; OPTSP00 = optional subcomponent not included in the approved APPR plan for 2016-17.</p> <p><b>Transition Optional Student Performance subcomponent scores and ratings</b> reported as a whole number from 0-20, using the following codes: TOPTSP04 = highly effective, value from 18-20; TOPTSP03 = effective, value from 15-17; TOPTSP02 = developing, value from 13-14; TOPTSP01 = ineffective, value from 0-12.</p> <p><b>Original Student Performance category ratings</b> reported using the following codes: OSPC04 = highly effective, OSPC03 = effective, OSPC02 = developing, OSPC01 = ineffective.</p> <p><b>Transition Student Performance category ratings</b> reported using the following codes: TOSPC04 = highly effective, TOSPC03 = effective, TOSPC02 = developing, TOSPC01 = ineffective.</p> <p>Category ratings must be determined per the subcomponent weighting indicated in the approved APPR plan for 2016-17.</p>

**Q12: Can the reported numerical scores contain decimals?**

A: Required and Optional Teacher Observation/Principal School Visit subcomponent scores will be a score of 0.00 or from 1.00 to 4.00 and may contain up to two decimal places (see, e.g., pages 26 and 27 of [APPR Guidance \(§3012-d\)](#)). Required and Optional Student Performance subcomponent scores may not report subcomponent scores as decimals and should be a whole number from 0 to 20.

**Q13: How do I find out if our data has been submitted to the Department? I think we submitted our full and complete data set, but I would like to confirm and verify the data. How do we do so?**

A: Your submitted data can be viewed in L2RPT- SIRS 325 Staff Evaluation Rating Verification Report in the Level 2 (L2RPT) Reporting System. If your data is not available in L2RPT, please follow typical protocol for questions surrounding data

submission, which may include contacting your Level 1 data center to determine if data has been submitted and that the person attempting to review the data has the proper entitlements to that report.<sup>14</sup>

*Please note:* Staff Evaluation Rating Records can only be verified in the SIRS 325 Staff Evaluation Rating Verification Report. The report is a district-only report and, as such, only users with district-level accounts can view and verify this data if provisioned (entitled) in SEDDAS. The user must be granted access to L2RPT and Staff Evaluation (or Staff Evaluation Only) for the L2RPT application in SEDDAS.

Please see Q14 for guidance regarding what to do if incorrect data are found during your review of submitted data.

#### **Q14: What should I do if there are incorrect data in my Staff Evaluation Rating Report?**

A: Prior to the deadline of October 27<sup>15</sup>, 2017, districts and BOCES should verify the data submitted to the Department Level 2 (L2RPT).

If you believe there has been an error in the data reported to the Department, please check your source data to confirm that the data submitted to the Department are the correct data. If an error still exists after confirming your source data, contact your RIC/Big 5 City School District data center through your local data coordinator to confirm that the data submitted to the Department are the correct data before the October 27<sup>15</sup>, 2017 deadline.<sup>16</sup>

After the October 27<sup>15</sup>, 2017 submission deadline, changes for staff evaluation data will be handled through the [Level 0 Historical application](#). More information about the process for submitting changes will be made available from the Office of Information Reporting Services after the initial reporting cycle is complete.

#### **Q15: We do not have full and complete data for all of our educators. What data do we submit to the Department for those educators with incomplete subcomponent scores/ratings? Should a zero be used for an incomplete subcomponent score?**

A: Full and complete data, including all required original and transition (where applicable) scores and ratings consistent with the implemented 2016-17 APPR plan are due to the Department no later than **October 27<sup>15</sup>, 2017<sup>17,18</sup>**. If for some reason districts/BOCES have one or more educator(s) who are missing a subcomponent evaluation score, districts/BOCES should **not** report for any missing or incomplete subcomponent(s) and should **not** report a corresponding Category rating or Overall rating for those educator(s) who are missing one or more subcomponent score(s). A

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<sup>14</sup> Please see Section M50 of the [§3012-d APPR Guidance](#).

<sup>15</sup> Due to feedback we have received from districts, BOCES, and Regional Information Centers regarding issues with the software many districts and BOCES use to generate and submit their staff evaluation data, Level 2 will accept data for an additional week. The staff evaluation data submission deadline is October 27; however, the container will be open through November 3 to accept data from LEAs that are not able to complete their submission by October 27. Additionally, the 2016-17 Statement of Confirmation of Staff Evaluation Verification form will be due on November 17, 2017 instead of November 3.

<sup>16</sup> Please see Section M51 of the [§3012-d APPR Guidance](#).

<sup>17</sup> Please see [Executive Director Alexander Trikalinos' July 17, 2017 memorandum](#).

<sup>18</sup> Please see Section M52 of the [§3012-d APPR Guidance](#).

value of zero should only be reported for an educator's subcomponent score when the evaluation requirements for the subcomponent have been completed and the educator's performance merits a rating of zero.

For comparison purposes and to help determine the initial and approximate completeness of reporting, the Department will utilize the total count of teachers and principals reported as part of the SIRS Staff Snapshot data collection to estimate how many educators should have evaluation data. Because Staff Snapshot includes educators who are not required to be evaluated under Education Law §3012-d, this data will only be used to establish an estimate of the number of teachers and principals with associated evaluation data.

**Q16: Should an Overall Composite Score or Rating be reported for an educator who is missing a subcomponent?**

A: No, districts/BOCES should **not** report an Overall rating (or a corresponding category rating) for an educator who is missing one or more subcomponent score(s).<sup>19</sup>

**Q17: If an educator is missing a subcomponent, should that educator be left out of the data file?**

A: No, districts and BOCES must submit all complete data sets for that educator even if there are one or more subcomponents missing (see Q15 and 16 above). However, an Overall rating (or a corresponding category rating) should not be submitted for an educator who is missing one or more subcomponents.<sup>20</sup> Further information on the submission of transition scores and ratings is included on EngageNY under [Resources for Closeout of 2016-17 APPR](#).

**Q18. How do I report an educator who was subject to evaluation under Education Law §3012-d, but for whom there are no staff evaluation data (i.e. missing all subcomponents)?**

A. In the rare instance whereby an educator was subject to evaluation under Education Law §3012-d, but is missing all subcomponents, report this information within the 2016-17 Statement of Confirmation of Staff Evaluation Rating Verification Report Form located on [NYSED's Application Business Portal](#).

This reporting will require the following information:

- Educator's Teach ID
- The name of the educator
- A selection from the drop-down menu indicating that there was no staff evaluation data reported for this individual<sup>21</sup>

**Q19: If an educator's score is the subject of an ongoing appeal that will not be**

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<sup>19</sup> Please see Section M53 of the [§3012-d APPR Guidance](#).

<sup>20</sup> Please see Section M54 of the [§3012-d APPR Guidance](#).

<sup>21</sup> Please see Section M55 of the [§3012-d APPR Guidance](#).

resolved by October 27<sup>22</sup>, 2017 what data should be submitted? If we have submitted and certified our data but due to an appeal an educator's score changes after October 27<sup>22</sup>, 2017 and/or November 17, 2017 what action is needed?

A: The data submitted to the Department on October 27<sup>22</sup>, 2017 must be complete data as of that date. The Department understands that as a result of appeals, data may still be the subject of change after October 27<sup>22</sup>, 2017 and/or November 17, 2017. Changes for staff evaluation data after this date(s) will be handled through the [Level 0 Historical application](#) for LEAs with approved appeals. More information about the process for submitting changes will be made available after the initial reporting cycle is complete.<sup>23</sup>

### **Statement of Confirmation of Staff Evaluation Rating Verification Report Questions**

**Q20: Where do I find the 2016-17 Statement of Confirmation of Staff Evaluation Rating Verification Report?**

A: The certification form will be available in SED Monitoring through [NYSED's Application Business Portal](#), in the same location as the online APPR submission form.<sup>24</sup>

**Q21: How do I submit the 2016-17 Statement of Confirmation of Staff Evaluation Rating Verification Report?**

A: The certification form must be submitted through [NYSED's Application Business Portal](#), in the same location as the online APPR submission form.<sup>25</sup>

**Q22: What information needs to be included on the 2016-17 Statement of Confirmation of Staff Evaluation Rating Verification Report?**

A: The 2016-17 Statement of Confirmation of Staff Evaluation Rating Verification Report is an online form that requires districts and BOCES to provide the following information:

- 1) A statement confirming that the Staff Evaluation Rating Verification Report(s) which were generated using the Level 2 Reporting System have been viewed, including the date on which they were viewed;
- 2) A statement confirming the accuracy of the data reported, or a statement that the accuracy of data reported cannot be confirmed; options are also provided to indicate that scores have been modified and/or that there are teachers subject to evaluation under Education Law §3012-d for whom staff evaluation

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<sup>22</sup> Due to feedback we have received from districts, BOCES, and Regional Information Centers regarding issues with the software many districts and BOCES use to generate and submit their staff evaluation data, Level 2 will accept data for an additional week. The staff evaluation data submission deadline is October 27; however, the container will be open through November 3 to accept data from LEAs that are not able to complete their submission by October 27. Additionally, the 2016-17 Statement of Confirmation of Staff Evaluation Verification form will be due on November 17, 2017 instead of November 3.

<sup>23</sup> Please see Section M56 of the [§3012-d APPR Guidance](#).

<sup>24</sup> Please see Section M57 of the [§3012-d APPR Guidance](#).

<sup>25</sup> Please see Section M58 of the [§3012-d APPR Guidance](#).

- data has not been submitted;
- 3) The name of the district or BOCES official providing the certifications; and
  - 4) The title of the district or BOCES official providing the certifications.

Additionally, the form includes a section enabling districts/BOCES to submit educator information and a reason for an altered or omitted State-provided growth score, or for missing staff evaluation data in its entirety.

**Q23: I see there is an option to report educators who received a modified State-provided growth score. Under what circumstances would I report these educators?**

A: There may be rare instances where an educator receives a State-provided growth score that can be modified and replaced by a locally-derived growth score. As a reminder, the five reasons a State-provided growth score can be modified and replaced by a locally-derived growth score are as follows:

- 1) A principal has less than 30% of his or her students covered by the State-provided growth measure;<sup>26</sup>
- 2) A teacher has less than 50% of his or her students covered by the State-provided growth measure;<sup>27</sup>
- 3) A State-provided growth measure may have been provided for an educator who is not subject to Education Law §3012-d, or should not have received a score pursuant to Education Law §3012-d, Subpart 30-3 of the Rules of the Board of Regents, and/or applicable APPR Guidance;<sup>28,29</sup>
- 4) Final determination of a local appeal;<sup>30</sup> or
- 5) Final determination of an appeal to the State.<sup>31</sup>

**Q24: Other than receipt of a modified State-provided growth score, are there other reasons I would list an educator on the 2016-17 Statement of Confirmation of Staff Evaluation Rating Verification Report?**

A: Educators who fall into one or more of the following categories should also be listed on the 2016-17 Statement of Confirmation of Staff Evaluation Rating Verification Report:

- Educators for whom evaluation scores were modified subsequent to the final determination of a local appeal;<sup>32</sup> or
- Educators who were subject to evaluation under Education Law §3012-d, but for whom staff evaluation data were not submitted.<sup>33</sup>

**Q25: What needs to be reported if an educator received a modified State-provided growth score or a modification in evaluation ratings due to the final determination**

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<sup>26</sup> Please see Section D42 of [§3012-d APPR Guidance](#).

<sup>27</sup> Please see Section D44 of [§3012-d APPR Guidance](#).

<sup>28</sup> Please see all of Section B of [§3012-d APPR Guidance](#).

<sup>29</sup> Please see, generally, Sections D1 and D2 of [§3012-d APPR Guidance](#).

<sup>30</sup> Please see Q15 of the [State-Provided Growth Score FAQ document](#).

<sup>31</sup> Please see the [FAQ: Challenges to a State-Provided Growth Score document](#).

<sup>32</sup> Please see Q15 of the [State-Provided Growth Score FAQ document](#).

<sup>33</sup> Please see Section M55 of [§3012-d APPR Guidance](#).

### **of a local appeal or appeal to the State?**

A: Educator(s) with a modified State-provided growth score or evaluation score(s) prior to November 17, 2017 should be reported on the 2016-17 Statement of Confirmation of Staff Evaluation Rating Verification Report form, available through [NYSED's Application Business Portal](#), in the same location as the online APPR submission form. This form requires a district or BOCES to report the educator's Teach ID and a selection from a drop-down menu indicating the reason for the modification of the State-provided growth score or staff evaluation score(s).

Educator(s) with a modified State-provided growth score or evaluation score(s) after November 17, 2017 should be handled through the [Level 0 Historical application](#). More information about the process for submitting changes will be made available from the Office of Information Reporting Services after the initial reporting cycle is complete.<sup>34</sup>

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<sup>34</sup> Please see Section M60 of [§3012-d APPR Guidance](#).